

**SECTION 2. FORMS PTO/SB/08A and 08B (formerly Form PTO-1449)****IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants: Evelyn et al. Attorney Docket: 2955/103  
 Serial No: 09/668,255 Art Group Unit: 3624  
 Date Filed: September 21, 2000 Examiner Name: Colbert, E.  
 Invention: System and Method for Pricing and Allocation of Commodities or Securities

**LIST OF PATENTS AND PUBLICATIONS FOR  
 APPLICANT'S SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

U.S. PATENT DOCUMENTS					
Examiner Initials	Reference Number	Document Number	Issue Date	Inventor	Class/Subclass
	91	US 2001/0034692 A1	10/25/01	McRedmond	
	92	US <del>6,629,081</del> <sup>6,629,082</sup> B1	9/30/03	Hambrecht, et al.	705/37

FOREIGN PATENT DOCUMENTS						
Examiner Initials	Reference Number	Country Code	Document Number	Publication Date	Patentee or Applicant	Class/Subclass
	93	WO	00/51047 A2	08-2000	Cinelli et al.	G06F 17/60

OTHER DOCUMENTS			
Examiner Initials	Reference Number	Author	Title of Article, Title of Journal, Volume Number, Page Numbers, Date
	94	Sarah Stirland	"Wall Street Is Rattled by Software That Can Remake Competitive Deals", The Bond Buyer, Aug. 21, 1996, pg. 1
	95	Fujishima, Yuzo, et al.,	"Speeding Up Ascending-Bid Auctions", Stanford University, Stanford, CA, pgs. 1-6.
	96	Milgrom, Paul	"Putting Auction Theory to Work: The Simultaneous Ascending Auction", Dept. of Economics, Stanford University, December 8, 1997, revised April 21, 1999, pgs. 1-25.
	97		U.S. Securities and Exchange Commission, Proposed Rule: Defining the Term "Qualified Purchaser" under the Securities Act of 1933, Release No. 33-8041; File No. S7-23-01
	98	Epstein, Lee	"Newcomers Guide to the Dutch Auction Process (Securities Auctions)", <u>Corporate Cashflow Magazine</u> , Vol. 11, No. 3, pg. 42(2), March 1990.

(Supplemental Information Disclosure Statement--page 4 of 7)

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /DIG/